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Transmittal Letter to the United States
Designated/Elected Office (DO/EO/US)

Prepared from
FORM PTO-1390

Attorney's Docket No. : Y03-103US Nat
U.S. Application No. : Not Yet Assigned
U.S. Application Filed : Herewith
International Application No. : PCT/US2003/028718
International Filing Date : 12 September 2003 (12.09.03)
Priority Dates Claimed : 13 September 2002 (13.09.02)
Title of Invention : ENANTIOSELECTIVE AMINATION AND ETHERIFICATION
Applicants for (DO/EO/US) : HARTWIG, John F.; SHU, Chutian; OHMURA, Toshimichi;
KIENER, Christoph; LOPEZ, Fernando, Garcia

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures [35 U.S.C. 371 (f)] at any time rather than delay examination until the expiration of the applicable time limit set forth in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed [35 U.S.C. 371(c)(2)]
 - a) ☐ is transmitted herewith (required only if not transmitted by the International Bureau);
 - b) ☒ has been transmitted by the International Bureau;
 - c) ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English [35 U.S.C. 371(c)(2)].
7. ☒ Cancel in this application original claims 10-13, 15-33 and 35-53 of the prior Application before calculating the filing fee. After canceling said claims, **claims 1-9, 14 and 34 remain pending in the present application.**
8. ☐ A translation of the amendments to the claims under PCT Article 19 [35 U.S.C. 371(c)(3)].
9. ☐ An oath or declaration of the inventor(s) [35 U.S.C. 371(c)(4)].
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 [35 U.S.C. 371(c)(5)].

EXPRESS MAIL No.: EV 332306064 US

Deposited: March 14, 2005

I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: "Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450."

Harold Hull

Harold Hull

March 14, 2005

Date

EXPRESS MAIL NO.: EV 332306064 US

Items 11. to 16. below concern other document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98.
12. ☐ An Assignment document for recording. (A separate Cover Sheet in compliance with 37 CFR 3.28 and 3.31 is included.)
13. ☐ A **FIRST** preliminary amendment.
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ (other items or information) Application Data Sheet, Published Int'l Application No. WO 2004/024684 A2, International Search Report; Form PCT/IB/308.

17. ☒ The following fees are submitted:

| | | | | | | | | |
|--|----------|---|-------|--------------|---|------------|-------------------|-----------------|
| 17. | <u>X</u> | The following fees are submitted: | | | | | CALCU- LATIONS | PTO USE ONLY |
| BASIC NATIONAL FEE [37 CFR 1.492(a)(1)-(5)]: | | | | | | | | |
| — | | Search Report has been prepared by the EPO or JPO | | | | \$ 920.00 | | |
| <u>X</u> | | International preliminary examination fee paid to USPTO [37 CFR 1.482] | | | | \$ 800.00 | \$800.00 | |
| — | | No International preliminary examination fee paid to USPTO [37 CFR 1.482] but International search fee paid to USPTO [37 CFR 1.445(a)(2)] | | | | \$ 770.00 | | |
| — | | Neither International preliminary examination fee [37 CFR 1.482] nor International search fee [37 CFR 1.445(a)(2)] paid to USPTO | | | | \$ 1080.00 | | |
| — | | International preliminary examination fee paid to USPTO [37 CFR 1.482] and all claims satisfied provisions of PCT Article 33(1)-(4) | | | | \$ 100.00 | | |
| ENTER APPROPRIATE BASIC FEE AMOUNT | | | | | | | \$800.00 | |
| Surcharge of \$130.00 for furnishing the oath or declaration later than <u>20</u> / <u>X</u> 30 months from the earliest claimed date [37 CFR 1.492(e)] | | | | | | | \$130.00 | |
| Claims | | Number filed | | Number extra | | Rate | | |
| Total Claims | | 11 | -20 = | 0 | x | \$ = | | |
| Indep. Claims | | 4 | -3 = | 1 | x | \$ 200. = | \$200.00 | |
| Multiple Dependent Claim(s) (if applicable) + \$ = | | | | | | | | |
| TOTAL OF ABOVE CALCULATIONS = | | | | | | | \$1130.00 | |
| Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must be filed, if required. [Note 37 CFR 1.9, 1.27, 1.28] | | | | | | | - | |
| SUBTOTAL = | | | | | | | \$ 565.00 | |
| Processing fee of \$130.00 for furnishing the English Translation later than <u>20</u> / <u>30</u> months from the earliest claimed priority date [37 CFR 1.492(f)] | | | | | | | + | \$ |
| TOTAL NATIONAL FEE = | | | | | | | \$ 565.00 | |
| Fee for recording the enclosed assignment [37 CFR 1.21(h)]. The assignment must be accompanied by an appropriate cover sheet [37 CFR 3.28, 3.31]. \$40.00 per property | | | | | | | + | \$ |
| TOTAL FEE (ENCLOSED) = | | | | | | | \$ 565.00 | |
| (AMOUNT TO BE REFUNDED OR CHARGED) | | | | | | | REFUNDED | \$ |
| | | | | | | | CHARGED | \$ |

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- a) ☒ A check in the amount of \$565.00 to cover the above fees is enclosed.
b) ☐ Please charge my Deposit Account No. 04-0838 in the amount of \$
to cover the above fees. A duplicate copy of this sheet is enclosed.
c) ☒ The Commissioner is hereby authorized to charge any additional fees which
may be required, or credit any overpayment to Deposit Account No. 04-0838.
A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 36 CFR 1.494 or 1.495 has not been met, a petition to revive [37 CFR 1.137(a) or (b)] must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Henry D. Coleman
Coleman Sudol Sapone, P.C.
714 Colorado Avenue
Bridgeport, CT 06605-1601
Tel. (203) 366-3560

Henry D. Coleman

Name

Signature

32,559
Reg. No.

March 14, 2005
Date